

04/12/01

15772 U.S. PTO

PTO/SB/05 (11-00)

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | 740756-2294   |
| First Inventor         | Shunpei YAMAZAKI et al.                                   |
| Title                  | LIGHT EMITTING DEVICE AND<br>MANUFACTURING METHOD THEREOF |
| Express Mail Label No. |   |

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 60]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 19]
5. Oath or Declaration [Total Sheets 5]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies; or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☒ Certified Copy of Japanese Priority Document  
No. 2000-115699 Filed: April 17, 2000  
Priority Claimed Yes [X] No [ ]  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(I). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior Application Serial No.: \_\_\_\_\_ / \_\_\_\_\_

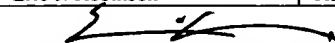
Prior application information:

Examiner: \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label 22204  
(Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

|                   |   |           |                                   |          |                |
|-------------------|---|-----------|-----------------------------------|----------|----------------|
| Name              | Eric J. Robinson  |           |                                   |          |                |
| Address           | NIXON PEABODY LLP   |           |                                   |          |                |
|                   | 8180 Greensboro Drive, Suite 800  |           |                                   |          |                |
| City              | McLean  | State     | VA                                | Zip Code | 22102          |
| Country           | United States   | Telephone | (703) 790-9110                    | Fax      | (703) 883-0370 |
| Name (Print/Type) | Eric J. Robinson  |           | Registration No. (Attorney/Agent) |          | 38,285         |
| Signature         |  |           |                                   | Date     | April 12, 2001 |

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL  
FOR FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** \$902.00*Complete if Known*

|                      |                         |
|----------------------|-------------------------|
| Application Number   |                         |
| Filing Date          | April 12, 2001          |
| First Named Inventor | Shunpei YAMAZAKI et al. |
| Examiner Name        |                         |
| Group Art Unit       |                         |
| Attorney Docket No.  | 740756-2294             |

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number 19-2380Deposit  
Account  
Name NIXON PEABODY LLP

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status.  
See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money  
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity<br>Fee<br>Code | Small Entity<br>Fee<br>Code | Fee Description | Fee Paid               |       |
|-----------------------------|-----------------------------|-----------------|------------------------|-------|
| 101                         | 710                         | 201 355         | Utility filing fee     | \$710 |
| 106                         | 320                         | 206 160         | Design filing fee      |       |
| 107                         | 490                         | 207 245         | Plant filing fee       |       |
| 108                         | 710                         | 208 355         | Reissue filing fee     |       |
| 114                         | 150                         | 214 75          | Provisional filing fee |       |

**SUBTOTAL (1)** \$710.00**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid         |
|--------------------|--------------|----------------|------------------|
| 24                 | -20** = 4    | X \$18         | = \$72.00        |
| Independent Claims | 4            | -3** = 1       | X \$80 = \$80.00 |
| Multiple Dependent |              | \$270          | =                |

| Large Entity<br>Fee<br>Code | Small Entity<br>Fee<br>Code | Fee Description | Fee Paid   |  |
|-----------------------------|-----------------------------|-----------------|--|--|
| 103                         | 18                          | 203 9           | Claims in excess of 20                                     |  |
| 102                         | 80                          | 202 40          | Independent claims in excess of 3                          |  |
| 104                         | 270                         | 204 135         | Multiple dependent claim, if not paid                      |  |
| 109                         | 80                          | 209 40          | ** Reissue independent claims over original patent         |  |
| 110                         | 18                          | 210 9           | ** Reissue claims in excess of 20 and over original patent |  |

**SUBTOTAL (2)** \$152.00

\*\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity<br>Fee<br>Code | Small Entity<br>Fee<br>Code | Fee Description | Fee Paid   |      |
|-----------------------------|-----------------------------|-----------------|--|------|
| 105                         | 130                         | 205 65          | Surcharge - late filing fee or oath  |      |
| 127                         | 50                          | 227 25          | Surcharge - late provisional filing fee or cover sheet                     |      |
| 139                         | 130                         | 139 130         | Non-English transaction  |      |
| 147                         | 2,520                       | 147 2,520       | For filing a request for <i>ex parte</i> reexamination                     |      |
| 112                         | 920*                        | 112 920*        | Requesting publication of SIR prior to Examiner action                     |      |
| 113                         | 1,840*                      | 113 1,840*      | Requesting publication of SIR after Examiner action                        |      |
| 115                         | 110                         | 215 55          | Extension for reply within first month                                     |      |
| 116                         | 390                         | 216 195         | Extension for reply within second month                                    |      |
| 117                         | 890                         | 217 445         | Extension for reply within third month                                     |      |
| 118                         | 1,390                       | 218 695         | Extension for reply within fourth month                                    |      |
| 128                         | 1,890                       | 228 945         | Extension for reply within fifth month                                     |      |
| 119                         | 310                         | 219 155         | Notice of Appeal   |      |
| 120                         | 310                         | 220 155         | Filing a brief in support of an appeal                                     |      |
| 121                         | 270                         | 221 135         | Request for oral hearing   |      |
| 138                         | 1,510                       | 138 1,510       | Petition to institute a public use proceeding                              |      |
| 140                         | 110                         | 240 55          | Petition to revive - unavoidable   |      |
| 141                         | 1,240                       | 241 620         | Petition to revive - unintentional   |      |
| 142                         | 1,240                       | 242 620         | Utility issue fee (or reissue)   |      |
| 143                         | 440                         | 243 220         | Design issue fee   |      |
| 144                         | 600                         | 244 300         | Plant issue fee  |      |
| 122                         | 130                         | 122 130         | Petitions to the Commissioner  |      |
| 123                         | 50                          | 123 50          | Petitions related to provisional applications                              |      |
| 126                         | 240                         | 126 240         | Submission of information Disclosure Stmt                                  |      |
| 581                         | 40                          | 581 40          | Recording each patent assignment per property (times number of properties) | \$40 |
| 146                         | 710                         | 246 355         | Filing a submission after final rejection (37 CFR § 1.129(a))              |      |
| 149                         | 710                         | 249 355         | For each additional invention to be examined (37 CFR § 1.29(b))            |      |
| 179                         | 710                         | 249 355         | Request for Continued Examination (RCE)                                    |      |
| 169                         | 900                         | 169 900         | Request for expedited examination of a design application                  |      |
| Other fee (specify) _____   |                             |                 |  |      |

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** \$40.00**SUBMITTED BY**

Name (Print/Type)

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Registration No.  
(Attorney/Agent)

38,285

*Complete (if applicable)*

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Signature

Date

April 12, 2001